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Attorney Docket No. 49443-DIV (70904)

1773

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: N. Iwata, et al.

U.S.S.N.: 09/990,428

Art Unit: 1773

FILED: November 21, 2001

Examiner: Not Yet Assigned

FOR: MAGNETO-OPTICAL RECORDING MEDIUM AND REPRODUCING DEVICE

CERTIFICATE OF MAILING

# 4

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on February 6, 2002.

By:

Fatima H. DeArruda

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
(SUBMISSION AFTER FILING OF AN APPLICATION  
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE)**

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Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Date: February 6, 2002

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, Applicants hereby submit an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications or other information submitted for consideration by the Office are listed on PTO-1449, attached hereto.

**II. COPIES**

- a. X Submitted herewith is a legible copy of (i) each U.S and foreign patent; (ii) each publication or that portion which caused it to be

listed; and (iii) all other information or that portion which caused it to be listed.

- b. ☐ Each of the patents, publications or other information listed on the attached PTO-1449 was previously cited by or submitted to the USPTO in connection with U.S.S.N.: 08/000,000, to which the subject application claims the benefit of the earlier filing date. As such, a copy of each is not included herewith pursuant to 37 C.F.R. § 1.98(d).

### III. CONCISE EXPLANATION OF THE RELEVANCE

(check at least one box)

- a. ☒ Except as may be indicated below in (b), all of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).
- b. ☐ A concise explanation of the relevance of all patents, publications or other information listed that is not in the English language is as follows:
- ☐ English translation (partial) for reference(s).
  - ☐ English abstract for reference(s).
  - ☐ English translation of search report/ official communication.
  - ☐ Copy of PCT/EPO Search Report.
- c. ☐ The following additional information is provided for the Examiner's consideration:
- ☐ Copy of EPO Search Report.
  - ☐ Copy of PCT Search Report.
  - ☐ Copy of Official Communication from the \_\_\_\_\_ Patent Office.
  - ☐ English translation of search report/official communication.
  - ☐ Copy of \_\_\_\_\_.

### FEEs

### IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)

(check one box)

- a. ☒ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in §1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.

- c. \_\_\_\_ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. \_\_\_\_ No certification; therefore, a fee in the amount of \$240.00 is required by 37 C.F.R. § 1.17(p).  
or  
b. \_\_\_\_ See the certification below. No fee is required.

VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby certifies that

- a. \_\_\_\_ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or  
b. \_\_\_\_ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.  
c. \_\_\_\_ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated

in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. FEE PAYMENT (check one)

\_\_\_\_\_ Enclosed please find a check in the amount of \$240.00 for the above-indicated fee.

\_\_\_\_\_ Please charge Deposit Account No. 04-1105 in the amount of \$240.00 for the above-indicated fee.

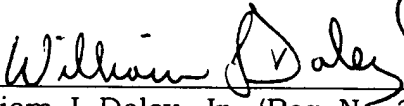
X No fee is required.

REMARKS

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule with a petition if necessary, and to charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,

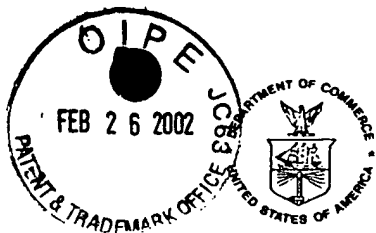
Date: February 6, 2002

  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/455,635	12/07/99	2754	\$778.00	49451(904)	12	21	2

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BOSTON MA 02109

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) NOBORU IWATA, TENRI-SHI, JAPAN; JUNJI HIROKANE,  
NARA-SHI, JAPAN.

FOREIGN APPLICATIONS- JAPAN 10-348103 12/08/98

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TITLE

MAGNETO-OPTICAL RECORDING MEDIUM AND REPRODUCING DEVICE

PRELIMINARY CLASS: 360

*I.D.S.*  
DIKE, BRONSTEIN, ROBERTS & CUSHMAN, LLP  
130 Water St. Boston, MA 02108  
Date Rec'd 1/24/00  
Docketed For MAR - 7, 2000  
By K. J. J. J.  
Approved SR 1/27/2000

DATA ENTRY BY: JACKSON, MINNIE TEAM: 04 DATE: 01/14/00

|||||

(See reverse for new important information)